EXHIBIT D

Part 4

\sim 1	ICT	CAL	CD	01	AI	
	J O I	OM	EK	LL	-AI	IVI

			Claim Number
			Date Received
		BERNARD L. MADOFF INVESTMENT SECURIT	TIES LLC
		In Liquidation	
		DECEMBER 11, 2008	
(Please 1	orint (or type)	
Mailing	Addr	omer: Jennifer S. Fondiller, Jennifer S. Fondilleress: 37 DeWitt Avenue	
City:	Bronx	State: New York	Zip: <u>10708</u>
Taxpave	r I.D.	1-W0106-3-0 (Westport National Bank) Number (Social Security No.):	
R. V			
	SHO PRO REC SUI LES CEI	E ACCOMPANYING INSTRUCTION SHEET. A SECULD BE FILED FOR EACH ACCOUNT AND, TO DIECTION AFFORDED UNDER SIPA, ALL CUSTON CEIVED BY THE TRUSTEE ON OR BEFORE MACEIVED AFTER THAT DATE, BUT ON OR BEFORE BJECT TO DELAYED PROCESSING AND TO BEING SERVORABLE TO THE CLAIMANT. PLEASE SEND RIFIED MAIL - RETURN RECEIPT REQUESTED.	O RECEIVE THE FULL MER CLAIMS MUST BE rch 4, 2009. CLAIMS July 2, 2009, WILL BE SATISFIED ON TERMS YOUR CLAIM FORM BY
*****	*****	******************	****
1.	Clai	m for money balances as of December 11, 2008:	
	a.	The Broker owes me a Credit (Cr.) Balance of	\$
	b.	I owe the Broker a Debit (Dr.) Balance of	\$
	C.	If you wish to repay the Debit Balance,	
		please insert the amount you wish to repay and	
		attach a check payable to "Irving H. Picard, Esq.,	
		Trustee for Bernard L. Madoff Investment Securit	

If you wish to make a payment, it must be enclosed

with this claim form.

If balance is zero, insert "None."

d.

Claim for securities as of December 11, 2008;

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

			Y	ES		NO
	a.	The Broker owes me securities valued at \$5,284.40 as of November 30.	2008.	X		<u> </u>
	b.	I owe the Broker securities		<u>.</u> .		
	C.	If yes to either, please list below:				
						Shares or of Bonds
Date of Transacti (trade da		Name of Security		The Brok Owes Me (Long)		I Owe the Broker (Short)
Plea	ase se	ee the attached supporting documentation	n and a	c <u>compan</u> yi	ng le	etter
			-		-	
	- 4		-		-	- A
			-		-	

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

08-01789-cgm Doc 4111-17 Filed 05/27/11 Entered 05/27/11 17:31:44 Exhibit D Part 4 Pg 4 of 21

		<u>YES</u>		<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.	200	-	X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?			X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?			X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	*		X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.	***	ندا النا	X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.			X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		<u> </u>	X
	Please list the full name and address of anyone ass preparation of this claim form: <u>Deborah Clark-Weint</u> Kallas LLC 1540 Broadway 37th Floor New York	raub, Whati	ey Dr	

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date _	Feb 16,7209	Signature Thord	_
Date _		Signature	

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, *e.g.*, corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

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CUS		/IVI	בתי	ᅛᆫ	ALIVI

Claim Number

			Date Received
		BERNARD L. MADOFF INVESTMENT SECUR	ITIES LLC
		In Liquidation	
(Please	print (DECEMBER 11, 2008 or type)	
Name of Mailing	Cust Addr	omer: Alan J. Gill, Alan. J. Gill Rollover IRA	
City: Account	Fairfie No.:	State: Connecticut 1-W0106-3-0 (Westport National Bank) Number (Social Security No.):	Zip: <u>06824</u>
NOTE:	SHO PRO REC SUI LES	FORE COMPLETING THIS CLAIM FORM, BE SURE ACCOMPANYING INSTRUCTION SHEET. A SIDULD BE FILED FOR EACH ACCOUNT AND, TOTECTION AFFORDED UNDER SIPA, ALL CUSTOCEIVED BY THE TRUSTEE ON OR BEFORE MEDICEIVED AFTER THAT DATE, BUT ON OR BEFORE BJECT TO DELAYED PROCESSING AND TO BEING SERVORABLE TO THE CLAIMANT. PLEASE SENTERTIFIED MAIL - RETURN RECEIPT REQUESTED.	EPARATE CLAIM FORM O RECEIVE THE FULL OMER CLAIMS MUST BE arch 4, 2009. CLAIMS E July 2, 2009, WILL BE G SATISFIED ON TERMS
*****	*****	******************	*****
1.	Clair	m for money balances as of December 11, 2008:	
	a.	The Broker owes me a Credit (Cr.) Balance of	\$
	b.	I owe the Broker a Debit (Dr.) Balance of	\$
	C.	If you wish to repay the Debit Balance,	
		please insert the amount you wish to repay and	
		attach a check payable to "Irving H. Picard, Esq.	•
		Trustee for Bernard L. Madoff Investment Secur	ities LLC."

1

If balance is zero, insert "None."

with this claim form.

If you wish to make a payment, it must be enclosed

d.

Claim for securities as of December 11, 2008;

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

		YES	NO
a.	The Broker owes me securities valued at \$3,550,996.57 as of Novembe	X er 30, 2008	
b.	I owe the Broker securities		
c.	If yes to either, please list below:		
			er of Shares or nount of Bonds
Date of Transaction (trade date)	Name of Security	The Broke Owes Me (Long)	
Please s	ee the attached supporting documentation	n_and ac <u>compan</u> yi	ng l <u>etter</u>
	The state of the s		

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

		<u>YES</u>	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.	**************************************	X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)		X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Weint Kallas LLC 1540 Broadway 37th Floor New York	raub, Whatley [Orake &

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date	2/18/09	_ Signature	Clan J. Sell
	• /		1
Date	1	Signature	· · · · · · · · · · · · · · · · · · ·

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, *e.g.*, corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

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u	JOI	UII		RV	يا د	A IIVI	

Claim Number_____

Date Received
BERNARD L. MADOFF INVESTMENT SECURITIES LLC
In Liquidation
DECEMBER 11, 2008
(Please print or type)
Name of Customer: Jonathan P. Gill, Jonathan P. Gill Roth IRA Mailing Address: 2031 Redding Road City: Fairfield State: Connecticut Zip: 06824 Account No.: 1-W0106-3-0 (Westport National Bank) Taxpayer I.D. Number (Social Security No.):
NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.

1. Claim for money balances as of December 11, 2008 :
a. The Broker owes me a Credit (Cr.) Balance of \$
b. I owe the Broker a Debit (Dr.) Balance of \$

If you wish to repay the Debit Balance,

with this claim form.

If balance is zero, insert "None."

please insert the amount you wish to repay and attach a check payable to "Irving H. Picard, Esq.,

Trustee for Bernard L. Madoff Investment Securities LLC."

If you wish to make a payment, it must be enclosed

C.

d.

Claim for securities as of December 11, 2008:

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

			YES	NO
	a.	The Broker owes me securities valued at \$106,963.58 as of November 30, 20	X 08	<u> </u>
-	b.	I owe the Broker securities		
.1	C.	If yes to either, please list below:		
				of Shares or ount of Bonds
Date of Transaction (trade dat		Name of Security	The Broke Owes Me (Long)	– –
Plea	ise se	ee the attached supporting documentation and	ac <u>compan</u> yin	g l <u>etter</u>
	_			
*****	_	3-3-2-11-12-12-1-1-1-1-1-1-1-1-1-1-1-1-1		
3544				T

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

		<u>YES</u>	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.	4 to	X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	4	X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.	, s	X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.	-	X
	Please list the full name and address of anyone ass preparation of this claim form: Deborah Clark-Wein Kallas, LLC, 1540 Broadway, 37th Floor, New Yor	traub, Whatley D	

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date	Signature	Jonathan	P.	GILL	
Date	Signature				

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

CHICA		OI		
CUST	IEK	LL	AI	IVI

Claim Number	_
Date Received	

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

In Liquidation						
		DECEMBER 11, 2008				
(Please	print (or type)				
City: Account	Addr Fairfie No.:	ess: 2031 Redding Road	ip: <u>06824</u>			
NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.						
*******	*****	**************************************	***			
1.	Clair	m for money balances as of December 11, 2008:				
	a.	The Broker owes me a Credit (Cr.) Balance of	\$			
	b.	I owe the Broker a Debit (Dr.) Balance of	\$			
	C.	If you wish to repay the Debit Balance,				
		please insert the amount you wish to repay and				
		attach a check payable to "Irving H. Picard, Esq.,				
		Trustee for Bernard L. Madoff Investment Securitie				
		If you wish to make a payment, it must be enclose	ed			
		with this claim form.	\$			
	d.	If balance is zero, insert "None."				

Claim for securities as of December 11, 2008;

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

		<u>-</u>	YES	NO
	a.	The Broker owes me securities valued at \$261,183.08 as of November 30,	X	
*	b.	I owe the Broker securities		
	C.	If yes to either, please list below:		
			Number o Face Amou	f Shares or nt of Bonds
_Date of			The Broker	! Owe
Transact (trade da		Name of Security	Owes Me (Long)	the Broker (Short)
Ple	ase s	ee the attached supporting documentation ar	nd ac <u>compan</u> ying	letter
	-			
			·	
	_			

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

		YES	<u>NO</u>
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	·	X
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X
	Please list the full name and address of anyone ass preparation of this claim form: <u>Deborah Clark-Wein</u> Kallas, LLC, 1540 Broadway, 37th Floor, New Yor	traub. Whatley D	

IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.

THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date <u>2/14/09</u>	Signature_Naorni a. Bell	
Date	Signature	

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, *e.g.*, corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

This customer claim form must be completed and mailed promptly, together with supporting documentation, etc. to:

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Lι	JOI	UIV	IFK.	1.1	AIN	1

Claim Number	
Date Received	

BERNARD L. MADOFF INVESTMENT SECURITIES LLC

In Liquidation

		·	
		DECEMBER 11, 2008	
(Please	print	or type)	
Name o			
Mailing City:	CHARLES OF		
		York State: New York Z 1-W0106-3-0 (Westport National Bank)	ip: <u>100/5</u>
		. Number (Social Security No.):	
NOTE:	BE	FORE COMPLETING THIS CLAIM FORM, BE SURE T	O READ CAREFULLY
	SH	E ACCOMPANYING INSTRUCTION SHEET. A SEP. OULD BE FILED FOR EACH ACCOUNT AND, TO	ARATE CLAIM FORM RECEIVE THE FULL
	PR	OTECTION AFFORDED UNDER SIPA, ALL CUSTOMI	ER CLAIMS MUST BE
	RE RE	CEIVED BY THE TRUSTEE ON OR BEFORE Marc	th 4, 2009. CLAIMS
	SU	BJECT TO DELAYED PROCESSING AND TO BEING S	ATISFIED ON TERMS
		SS FAVORABLE TO THE CLAIMANT. PLEASE SEND Y RTIFIED MAIL - RETURN RECEIPT REQUESTED.	OUR CLAIM FORM BY
******	*****	**************************************	***
1.	Clai	m for money balances as of December 11, 2008:	
	a,	The Broker owes me a Credit (Cr.) Balance of	\$
	b.	I owe the Broker a Debit (Dr.) Balance of	\$
	C.	If you wish to repay the Debit Balance,	
		please insert the amount you wish to repay and	
		attach a check payable to "Irving H. Picard, Esq.,	
		Trustee for Bernard L. Madoff Investment Securitie	s LLC."
		If you wish to make a payment, it must be enclose	ed
		with this claim form.	\$
	d.	If balance is zero, insert "None."	

2. Claim for securities as of December 11, 2008:

PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.

		YES	NO
a.	The Broker owes me securities valued at \$218,907.87 as of November 3	X 0. 2008.	
b.	I owe the Broker securities		
C.	If yes to either, please list below:		
			er of Shares or nount of Bonds
Date of Fransaction trade date)	Name of Security	The Brok Owes Me (Long)	
Please s	see the attached supporting documentation	and ac <u>compan</u> y	ing letter
		<u> </u>	*
<u> </u>	·		
			0

Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.

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		<u>YES</u>	<u>NO</u>			
3.	Has there been any change in your account since December 11, 2008? If so, please explain.		X			
4.	Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?		X			
5.	Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?		X			
6.	Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	* <u> </u>	X			
7.	Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.		X			
8.	Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.		X			
9.	Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.		X			
	Please list the full name and address of anyone assisting you in the preparation of this claim form: Deborah Clark-Weintraub, Whatley Drake & Kallas, LLC, 1540 Broadway, 37th Floor, New York, New York, 10036					

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THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.

Date _	2/26/09	Signature	Buhard	L.	Henker
Date _		Signature_			

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

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